

01/31/02  
1046 U.S. PTO

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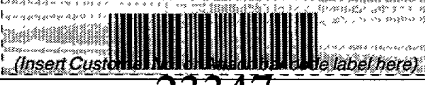
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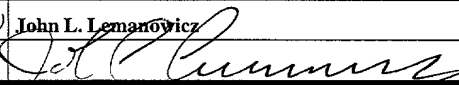
PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
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|   |                        |                        |
|---|------------------------|------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.    | PG3119US2              |
|   | First Inventor         | Cockerill et al.       |
|   | Title                  | HETEROCYCLIC COMPOUNDS |
|   | Express Mail Label No. | EL395889724US          |

|  |  |
|--|--|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small>   | <b>ADDRESS TO:</b><br>Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, D.C. 20231   |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original, and a duplicate for fee processing)</small>   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>   |
| 3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 102]</small><br><small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequencing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul> c. <input type="checkbox"/> Statements verifying identity of above copies |
| 4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets]</small>   | <b>ACCOMPANYING APPLICATION PARTS</b>  |
| 5. Oath or Declaration <small>[Total Pages]</small> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><small>(for continuation/divisional with Box 18 completed)</small><ul style="list-style-type: none"><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li></ul></li></ul>   |  |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |  |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:<br><input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-par (CIP) of prior application No.: 09/214,627<br>Prior application information: Examiner T. Solola Group / Art Unit: 1626  |  |

For CONTINUING OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|  |           |          |  |  |
|--|-----------|----------|--|--|
| <b>19. CORRESPONDENCE ADDRESS</b>  |           |          |  |  |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label  or <input type="checkbox"/> Correspondence address below |           |          |  |  |
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|                   |   |                                   |         |
|-------------------|---|-----------------------------------|---------|
| Name (Print/Type) | John L. Lemarovich  | Registration No. (Attorney/Agent) | 37,380  |
| Signature         |  | Date                              | 1/31/02 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$740.00

## Complete if Known

Application Number

Filing Date

First Named Inventor

Cockerill et al.

Examiner Name

Group Art Unit

Attorney Docket No.

PG3119US2

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number

07-1392

Deposit  
Account  
Name

GlaxoSmithKline

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid |
|-------------------------------|-------------------------------|------------------------|----------|
| 101 740                       | 201 370                       | Utility filing fee     | 740.00   |
| 106 330                       | 206 165                       | Design filing fee      |          |
| 107 510                       | 207 255                       | Plant filing fee       |          |
| 108 740                       | 208 370                       | Reissue filing fee     |          |
| 114 160                       | 214 80                        | Provisional filing fee |          |
| SUBTOTAL (1)                  |                               |                        | \$740.00 |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Extra Claims                  | Fee from below | Fee Paid |
|-------------------------------|----------------|----------|
| Total Claims 10 -20** = 0     | X              | 0.00     |
| Independent Claims 1 -3** = 0 | X              | 0.00     |
| Multiple Dependent            |                |          |

| <u>Large Entity</u> |          | <u>Small Entity</u> |          | Fee Description  |
|---------------------|----------|---------------------|----------|--|
| Fee Code            | Fee (\$) | Fee Code            | Fee (\$) |  |
| 103                 | 18       | 203                 | 9        | Claims in excess of 20                                     |
| 102                 | 84       | 202                 | 42       | Independent claims in excess of 3                          |
| 104                 | 280      | 204                 | 140      | Multiple dependent claim, if not paid                      |
| 109                 | 84       | 209                 | 42       | ** Reissue independent claims over original patent         |
| 110                 | 18       | 210                 | 9        | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2)        |          |                     |          | \$0.00   |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 105 130                       | 205 65                        | Surcharge - late filing fee or oath  |          |
| 127 50                        | 227 25                        | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                       | 139 130                       | Non - English specification  |          |
| 147 2,520                     | 147 2,520                     | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                      | 112 920*                      | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                    | 113 1,840*                    | Requesting publication of SIR after Examiner action                        |          |
| 115 110                       | 215 55                        | Extension for reply within first month                                     |          |
| 116 400                       | 216 200                       | Extension for reply within second month                                    |          |
| 117 920                       | 217 460                       | Extension for reply within third month                                     |          |
| 118 1,440                     | 218 720                       | Extension for reply within fourth month                                    |          |
| 128 1,960                     | 228 980                       | Extension for reply within fifth month                                     |          |
| 119 320                       | 219 160                       | Notice of Appeal   |          |
| 120 320                       | 220 160                       | Filing a brief in support of an appeal                                     |          |
| 121 280                       | 221 140                       | Request for oral hearing   |          |
| 138 1,510                     | 138 1,510                     | Petition to institute a public use proceeding                              |          |
| 140 110                       | 240 55                        | Petition to revive - unavoidable   |          |
| 141 1,280                     | 241 640                       | Petition to revive - unintentional   |          |
| 142 1,280                     | 242 640                       | Utility issue fee (or reissue)   |          |
| 143 460                       | 243 230                       | Design issue fee   |          |
| 144 620                       | 244 310                       | Plant issue fee  |          |
| 122 130                       | 122 130                       | Petitions to the Commissioner  |          |
| 123 50                        | 123 50                        | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126 180                       | 126 180                       | Submission of Information Disclosure Statement                             |          |
| 581 40                        | 581 40                        | Recording each patent assignment per property (times number of properties) |          |
| 146 740                       | 246 370                       | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740                       | 249 370                       | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740                       | 279 370                       | Request for Continued Examination (RCE)                                    |          |
| 169 900                       | 169 900                       | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

## SUBMITTED BY

Name (Print/Type)

John J. Lemaniowicz

Registration No.  
(Attorney/Agent)

37,380

## Complete (if applicable)

Telephone

(919) 483-8247

Signature

*John J. Lemaniowicz*

Date

1/31/02

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Cockerill et al.**

Docket No.

**PG3119US2**

Serial No.

**Not Yet Assigned**

Filing Date

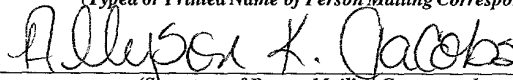
Examiner

Group Art Unit

Invention: **HETEROCYCLIC COMPOUNDS**I hereby certify that this **Continuation Patent Application***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on

11/31/02*(Date)***Allyson K. Jacobs***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL395889724US****Note: Each paper must have its own certificate of mailing.**